

SUMMARY FTA CIRCULAR 6100.1D
FTA's Research, Technical Assistance and Training Programs:
Application Instructions and Program Management Guidelines

BACKGROUND

- FTA Circular 6100.1C, Transit Research and Technology Programs: Application Instructions and Program Management Guidelines, was last updated May 3, 2003.
- Important elements of the Circular to be replaced, such as payment procedures, are outdated and do not reflect current FTA practice.
- It provides application guidelines and management procedures for all Federal assistance provided under FTA's National Research Programs. In other words, this Circular applies to all projects currently funded out of the Research Program Plan as well as all earmarked programs within the Research and University Centers Account.

COMMENTS RECEIVED ON THE PROPOSED CIRCULAR

FTA received only one set of comments, from the New York Metropolitan Transportation Authority. Except for the request to narrow the scope on project identification requirements that was accepted by FTA, the comments were minor in nature or unrelated specifically to the Research Circular.

CIRCULAR CHANGES

The majority of the edits were included to:

- Clarify that it includes technical assistance and training programs – and adjust some requirements based on whether they are research in nature or technical assistance/training (e.g. technical assistance programs not required to produce a research report)
- Update guidance to reflect current policy and changes in SAFETEA-LU.
- Restructure the circular in a systematic approach that distinguishes between Application Instructions, Project Administration, Oversight, and Financial Management activities
- Clarify requirements and processes where there has been some confusion
- Address the comments from the commenter

CLARIFIED REQUIREMENTS AND PROCESSES

The following topics were expanded for further clarification:

Application

- Requires all recipients to use TEAM to for the formal application

Project Identification

- Changes language to narrow the scope of project identification requirements on all equipment, prototypes, construction, reports, data, software, internet pages or any similar items produced in the course of the project only to the project's deliverables.

System Registration Requirements

- The Circular now notes the use of FTA's TEAM system and other Federal government grants application and reporting systems require advance registration by recipients. These include:
 - TEAM
 - Data Universal Numbering System (DUNS)
 - Central Contractor Registration (CCR)
 - Grants.gov
 - The Federal Funding Accountability Transparency Act (FFATA)

Statement of Work

- Expands the Work Plan by adding a section on Project Period, Schedule and Deliverables.
- Changes the language to include the identification of the period of performance and schedule completion for major project milestones and deliverables.

Reporting Requirements

- Expands the reporting section by adding The Federal Funding Accountability and Transparency ACT (FFATA) Subaward and Executive Compensation Reporting language.
- Requires all recipients to submit the Federal Financial Report and the Milestone Progress Report in TEAM. For research projects, the latter must include a quarterly narrative report.

Final and other Major Report

- Provides changes to Report Organization, Elements and Style.
- Includes a source on FTA's website to locate a report style guide with specific publication instructions
- Removes hard copy requirements

Disclaimer Notice

- Includes a source for the Standard Form 298

Payment Procedures

- Requires all recipients to use the Request for Advance or Reimbursement (SF-270) to request payment, using the Markview system.